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PTO/SB/06A (10-96)

Approved for use through 10/31/99. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<p>Substitute for form 1449A/PTO</p> <p><b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b></p>				<i>Complete if Known</i>	
Sheet	1	of	2	Application Number	Not Yet Assigned
				Filing Date	March 31, 2000
				First Named Inventor	Erik C. Cota-Robles
				Group Art Unit	Not Yet Assigned
				Examiner Name	Not Yet Assigned
				Attorney Docket Number	042390.P7920

U.S. PATENT DOCUMENTS

## FOREIGN PATENT DOCUMENTS

Examiner Signature	/	Date Considered	
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**Examiner:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

**Burden Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Sheet

2

of

2

### Complete if Known

Application Number	Not Yet Assigned
Filing Date	March 31, 2000
First Named Inventor	Erik C. Cota-Robles
Group Art Unit	Not Yet Assigned
Examiner Name	Not Yet Assigned
Attorney Docket Number	042390.P7920

### OTHER ART (Including Title, Author, Date, Pertinent Pages, etc.)

Exam. Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
GO	1	Goldberg, R., "Survey of Virtual Machine Research," IEEE Computer Magazine 7(6), pp. 34-45, 1974.
GO	2	Gum, P.H., "System/370 Extended Architecture: Facilities for Virtual Machines," IBM J. Res. Develop., Vol. 27, No. 6, November 1983, pp. 530-544.
GO	3	Hall et al., "Virtualizing the VAX Architecture," ACM, pp. 280-389, 1991.
GO	4	Liu et al., "Scheduling Algorithms for Multiprogramming in a Hard-Real-Time Environment," Journal of the Association for Computing Machinery, Vol. 20, No. 1, Jan. 1973, pp.46-61.
GO	5	Stoica et al., "On the Duality between Resource Reservation and Proportional Share Resource Allocation," SPIE Proceedings Series, Vol. 3020, pp. 207-214, February 1997.
GO	6	Jones et al., "CPU Reservations and Time Constraints: Efficient, Predictable Scheduling of Independent Activities," Proceedings of ACM SOSP, 1997, pp. 1-26.
GO	7	Mercer et al., "Processor Capacity Reserves: Operating System Support for Multimedia Applications," Proc. IEEE Int'l Conf. on Multimedia Computing and Systems 1994, 10 pgs.
GO	8	Rosenblum, M., "VMware's Virtual Platform: A Virtual Machine Monitor for Commodity PCs," Proc. of the 13th Ann. Computer Security Applications Conf., 1997, pp. 175-181.
GO	9	Steere et al., "A Feedback-driven Proportion Allocator for Real-Rate Scheduling," Proc. of the 3rd USENIX Symposium on Operating Systems Design & Implementation, 2/99, 14 pgs.

Examiner  
Signature

*George Opre*

Date  
Considered

9/17/03

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MAR 29 2002

## Technology Center 2100

Examiner  
Signature

George Opie

Date Considered  
5/17/03.

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# Electronic Information Disclosure Statement

## Real-Time Scheduling of Virtual Machines

Application:   
09/541444

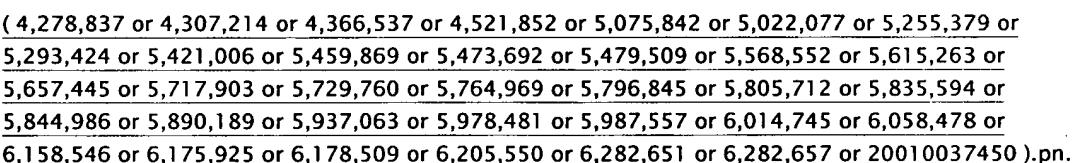
Confirmation: 3693

Applicant(s): Erik Cota-Robles

Docket  
Number: 042390P7920

Group Art  
Unit:

Examiner: Unassigned

search string:   
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5,844,986 or 5,890,189 or 5,937,063 or 5,978,481 or 5,987,557 or 6,014,745 or 6,058,478 or  
6,158,546 or 6,175,925 or 6,178,509 or 6,205,550 or 6,282,651 or 6,282,657 or 20010037450 ).pn.

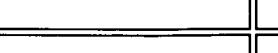
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OCT 09 2002

Technology Center 2100

### US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Citation No.	Patent Number	Date	Bar Code	Patentee	Class	Subclass
50	P01	4,278,837	1981-07-14		Best		
670	P02	4,307,214	1977-07-19		Birney, et al.		
60	P03	4,366,537	1982-12-28		Heller, et al.		
50	P04	4,521,852	1985-06-		Guttag		

			04		
	P05	5,075,842	1991-12-24		Lai
60	P06	5,022,077	1991-06-04		Bealkowski, et al.
60	P07	5,255,379	1993-10-19		Melo
60	P08	5,293,424	1994-03-08		Hotley, et al.
60	P09	5,421,006	1995-05-30		Jablon, et al
60	P10	5,459,869	1995-10-17		Spilo
60	P11	5,473,692	1995-12-05		Davis
60	P12	5,479,509	1995-12-26		Ugon
60	P13	5,568,552	1996-12-22		Davis
60	P14	5,615,263	1997-03-25		Takahashi
60	P15	5,657,445	1997-08-12		Pearce
60	P16	5,717,903	1998-02-10		Bonola
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60	P18	5,764,969	1998-06-09		Kahle, et al.
60	P19	5,796,845	1998-08-18		Serikawa, et al.
60	P20	5,805,712	1998-09-08		Davis
60	P21	5,835,594	1998-11-10		Albrecht, et al.
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			1999-03-		

	P23	5,890,189	03		Nozue, et al.
60	P24	5,937,063	1999-08-10		Davis
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60	P26	5,987,557	1999-11-16		Ebrahim
60	P27	6,014,745	2000-01-11		Ashe
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60	P30	6,175,925	2001-01-16		Nardone, et al.
60	P31	6,178,509	2001-01-23		Nardone, et al.
60	P32	6,205,550	2001-03-20		Nardone, et al.
60	P33	6,282,651	2001-08-28		Ashe
60	P34	6,282,657	2001-08-28		Kaplan, et al.

## Published Applications

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

Init	Citation No.	Patent Number	Date	Bar Code	Patentee	Class	Subclass
60	U01	20010037450	2001-11-01		Metlitski, et al.		

## Remarks

(Remarks are not for responding to an office action.)

Applicants, in accordance with their duty of disclosure under 37 CFR 1.56 and in accordance with 37

CFR 1.97(b)(3), hereby submit this Electronic Information Disclosure Statement citing U.S. Patent Documents for consideration by the Examiner. \* Pursuant to 37 CFR 1.97, the submission of this Electronic Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability. \* This Information Disclosure Statement is being filed prior to a substantive examination of the claims. Pursuant to 37 CFR 1.97(b), no fee should be required for the filing of this Information Disclosure Statement. In the event it is determined that a fee is due, please charge the fee to Deposit Account 02-2666. \* Applicants respectfully requests that the cited documents be considered and that the form be initialed by the Examiner to indicate such consideration and a copy thereof be returned to Applicants' attorney of record. \*

## Signature

Examiner Name	Date
GEORGE OPE	9/17/03

Examiner Signature	George Opie	Date Considered 9/17/03	
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Substitute for Form 1449A/PTO (Modified)

Complete if Known

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

of 2

Application Number	09/541,444
Filing Date	3/31/2000
First Named Inventor:	Erik C. Cota-Robles
Group Art Unit	2763
Examiner Name	Unassigned

Attorney Docket Number 042390.P7920

Sheet

of 2

Attorney Docket Number 042390.P7920

Sheet

of 2

Attorney Docket Number 042390.P7920

## OTHER ART – NO PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published
G.O		HEINRICH, J., "MIPS R4000 Microprocessor User's Manual, "April 1, 1993, MIPS, MT. VIEW, XP002184449, pp. 61-97.
GD		"M68040 USER'S MANUAL," 1993, MOTOROLA, INC., pp. 1-20
G-O		"INTEL 386 DX MICROPROCESSOR 32-BIT CMOS MICROPROCESSOR WITH INTEGRATED MEMORY MANAGEMENT," 12/31/95, INTEL, INC., pp. 32-56; figures 4-14
G.O		BERG, C., "HOW DO I CREATE A SIGNED APPLET?," DR. DOBB'S JOURNAL, M&T Publ., Redwood City, CA, US, Vol. 22, No. 8, 8/97, pp. 109-111, 122
G.O		GONG, L., et al., "GOING BEYOND THE SANDBOX: AN OVERVIEW OF THE NEW SECURITY ARCHITECTURE IN THE JAVA DEVELOPMENT KIT 1.2," Proceedings of the Usenix Symposium on the Internet Technologies and Systems, Monterrey, CA 12/97, pp. 103-112.
G.O		GOLDBERG, R., "Survey of virtual machine research," IEEE Computer Magazine 7(6), pp. 34-45, 1974.
GD		GUM, P.H., "System/370 Extended Architecture: Facilities for Virtual Machines," IBM J. Research Development, Vol 27, Number 6, pp. 530-544, November 1983
GD		ROSENBLUM, M. "Vmware's Virtual Platform: A Virtual Machine Monitor for Commodity PCs," Proceedings of the 11th Hotchips Conference, pp. 185-196, August 1999.
G.O		LAWTON, K., "Running Multiple Operating Systems Concurrently on an IA32 PC Using Virtualization Techniques," <a href="http://www.plex86.org/research/paper.txt">http://www.plex86.org/research/paper.txt</a> ; 8/9/2001; pp. 1-31.
G.O		"Trust Computing Platform Alliance (TCPA)," Main Specification Version 1.1a, Compaq Computer Corporation, Hewlett-Packard Company, IBM Corporation, Intel Corporation, Microsoft Corporation, December 2001.

Examiner Signature

George Opre

Date Considered

9/17/03

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Examiner Signature	George Opie	Date Considered	9/17/03.
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FOREIGN PATENT DOCUMENTS							
Exam. Initial*	Cite No. <sup>1</sup>	Foreign Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup> Kind Code <sup>5</sup> (If known)				
6-0			EP0600112	Seimens Nixdorf Information Systeme	08/06/1994		
6-0			WO9844402	PCT	10/08/1998		
6-0			WO9905600	PCT	02/04/1999		
6-0			WO9909482	Seimens Nixdorf Information Systeme	02/25/1999		
6-0			WO9957863	PCT	11/11/1999		
6-0			WO0062232	PCT	10/19/2000		
6-0			EP1146715	EP	10/17/2001		
6-0			EP0930567A	Texas Instruments	07/21/1999		
6-0			WO9834365A	AT&T Corporation	08/06/1998		
6-0							

Examiner Signature	George Opie	Date Considered 9/27/03
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# Electronic Information Disclosure Statement

## Real-Time Scheduling of Virtual Machines

Application:   
09/541444

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Confirmation: 3693

APR 30 2003

Applicant(s): Erik Cota-Robles

Technology Center 2100

Docket Number: 42390P7920

Group Art Unit: 2763

Examiner: Unassigned

search string: ( 4037214 or 5079737 or 5386552 or 5628022 or 5737760 or 5757919 or 5852717 or 5872994  
or 6055637 or 6085296 or 6125430 or 6148379 or 6192455 or 6249872 or 6272533 or 6292874  
or 6301646 or 6321314 or 6339815 or 6339816 or 6499123 or 6505279 or 20010021969 or  
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## US Patent Documents

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init	Citation No.	Patent Number	Date	Bar Code	Patentee	Class	Subclass
87-0	P01	4037214	1977-07-19		Birney, et al.	—	—
67-0	P02	5079737	1992-01-07		Hackbarth	—	—
67-0	P03	5386552	1995-01-31		Garney	—	—
67-0	P04	5628022	1997-05-06		Ueno, et al.	—	—

50	P05	5737760	1998-04-07	██████████	Grimmer, Jr., et al.
50	P06	5757919	1998-05-26	██████████	Herbert, et al.
50	P07	5852717	1998-12-22	██████████	Bhide, et al.
50	P08	5872994	1999-02-16	██████████	Akiyama, et al.
50	P09	6055637	2000-04-25	██████████	Hudson, et al.
50	P10	6085296	2000-07-04	██████████	Karkhanis, et al.
50	P11	6125430	2000-09-26	██████████	Noel, et al.
50	P12	6148379	2000-11-14	██████████	Schimmel
50	P13	6192455	2001-02-20	██████████	Bogin, et al.
50	P14	6249872	2001-06-19	██████████	Wildgrube, et al.
50	P15	6272533	2001-08-07	██████████	Browne
50	P16	6292874	2001-09-18	██████████	Barnett
50	P17	6301646	2001-10-09	██████████	Hostetter
50	P18	6321314	2001-11-20	██████████	Van Dyke
50	P19	6339815	2002-01-15	██████████	Feng, et al.
50	P20	6339816	2002-01-15	██████████	Bausch
50	P21	6499123	2002-12-24	██████████	McFarland, et al.
50	P22	6505279	2003-01-07	██████████	Phillips, et al.

## Published Applications

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Citation No.	Patent Number	Date	Bar Code	Patentee	Class	Subclass
610	U01	20010021969	2001-09-13		Burger, et al.	✓	✓
610	U02	20010027527	2001-10-04		Khidekel, et al.	✓	✓

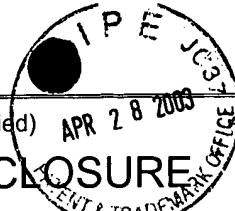
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## Signature

Examiner Name	Date
GEORGE DPE	9/6/03



**Substitute for Form 1449A/PTO (Modified)**

APR 28 2003

**Complete if Known**

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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

*(use as many sheets as necessary)*

Sheet 1 of 1 Attorney Docket Number 042390.1 **Ecology Center 2100**

Technology Center 2100

## U.S. PATENT DOCUMENTS

## FOREIGN PATENT DOCUMENTS

Examiner Signature	George Ope	Date Considered 5/17/03.
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